

FIGURE 1

Client Preferences - Microsoft Internet Explorer

Major Financial Concerns

☐ Building assets for future retirement

☐ Maintaining assets for current retirement

☐ Building assets for child education

☐ Wealth Preservation

☐ Assure family income in the event of untimely occurrence

☐ Purchase a new or second home

☐ Emergency fund

☐ Passing Wealth to Children

☐ Generating a steady stream of income

☐ Managing stock option portfolios

Investor Characteristics/Type/Temperament

Investment ☐ Big Picture ☐ Detail Oriented

Investment Facility ☐ Strategic ☐ Tactical

Level of Involvement ☐ Hands On ☐ Hands Off

Product Preferences ☐ New and Innovative ☐ Traditional

Privacy Investment Focus ☐ Absolute Performance ☐ Relative to Goal

Concern for Income Tax ☐ High ☐ Low

Communication ☐ Verbal ☐ Written ☐ Email

302 Save Cancel 300

FIGURE 3

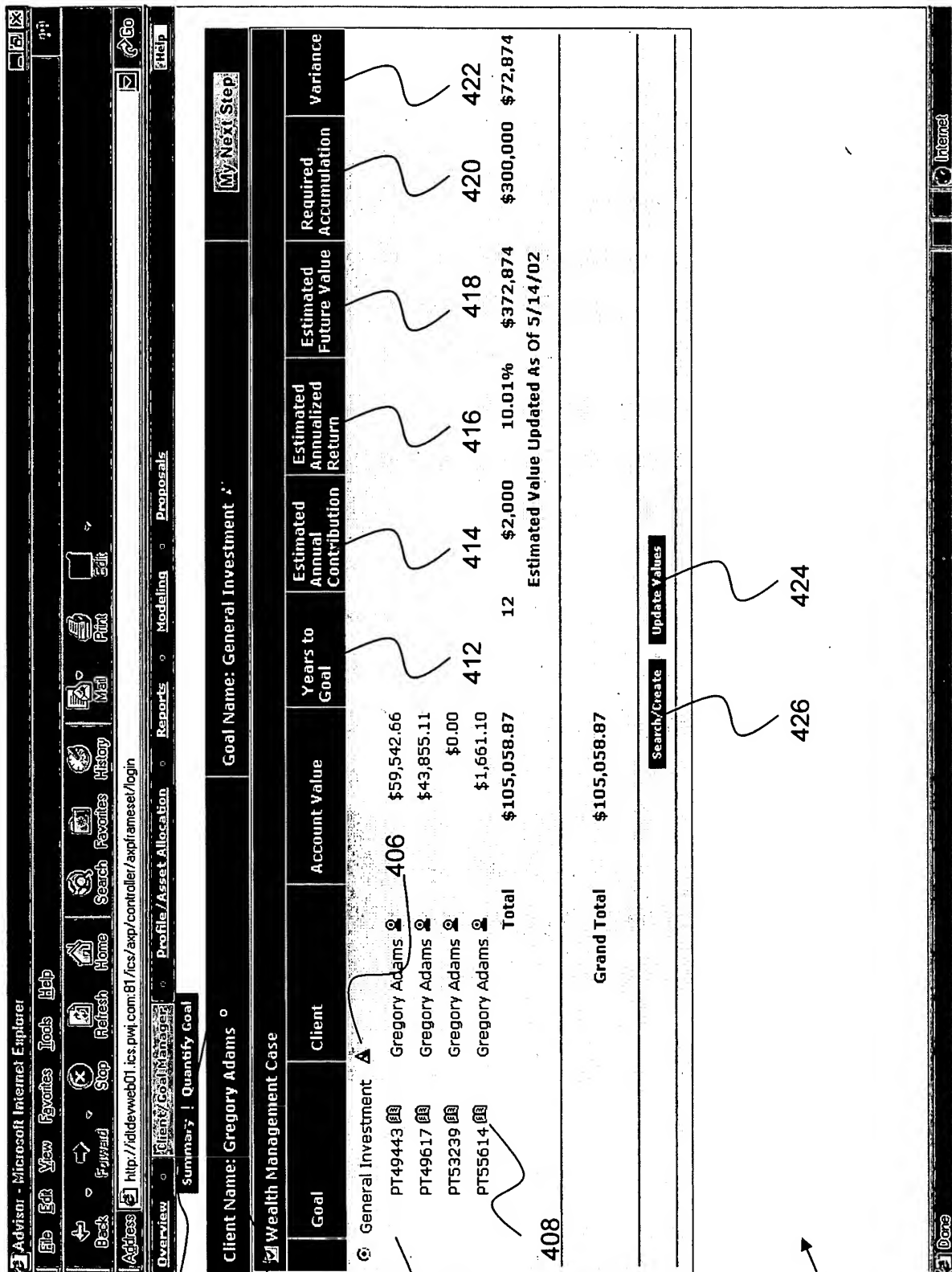


FIGURE 4

UBS PaineWebber Experience 0.1 - Microsoft Internet Explorer

UBS PaineWebber

Home Clients Market Data The Advisor Products Research Order Entry My Business Support

Overview Client/Goal Management Asset Allocation Reports Modeling Proposals Administration

QuickSearch: Client Account # [] for [VO] [Go]

2002 RTGB O/A: BAWERH 0.13E PE 110.63E Mkt Mkr

ACTIVE MARKETS

DJIA	9244.25	+191.81
IASDAO	1620.46	+50.27
S&P 500	1080.82	+24.64

Symbol Lookup Equity Composite Full Quote

Intel BUS MACHINES L: 105.32 +1.05 PC: +1.02 B: 105.37 A: 103.01 S: 55x16 V: 100,786,500 YH: 153.65 YL: 99.92

Client Name: **Adams, Sam** Goal Name: [] My Next Step

Personal Info

Date Of Birth: [] Additional Retirement Income (\$): 0 512

Current Age: 0 508 Inflation Adjusted Source of Income: 0

Life Expectancy: 90 510 Non-Inflation Adjusted Source of Income: 0

Total Retirement Assets (\$): 100,259

Understanding Your Client's Needs (Select one)

How much will my client need at retirement... []

...given an ability to contribute \$ [] each year and a desire to retire at age []

[65] with an annual retirement income of \$ []? Calculate \$2,611,972

Assumptions

Inflation: [2.80]% Rate of Return During Retirement: [7.00]% Rate of Return of Current Allocation: 8.11%

Interpreting These Results

Considering the retirement needs indicated above, your client will need to accumulate \$2,611,972 by the time of his/her child's first year of retirement. Given the estimated rate of return of the asset's current allocation (8.11%) and any planned annual contributions, the estimated future value of these assets is \$976,213 on this day. This represents a variance of { +/- \$X,XXX.XXX }. You should also take the time to determine whether the risk/return characteristics of this allocation are in line with your client's risk profile.

Click here to go to Financial Planning

Save

FIGURE 5

UBS PaineWebber Experience 0.1 - Microsoft Internet Explorer

UBS PaineWebber

Log On

Feedback

Online Assistant

Site Map

Overview

Q: View Charts

S: 55x16

A: 101.01

B: 105.37

PC: +1.05

L: 105.32

V: 100,786,500

YH: 153.65

YL: 99.92

Symbol Lookup

Equity Composite

Full Quote

2002 RTGB

Q/A: BAWERH

0.13E PE

110.83E

Mkt Mkt

ACTIVE MARKETS

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NASDAQ

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▲ +50.27

S&P 500

1080.82

▲ +24.64

Quick Search:

Client Account #

for

VO

Go

Home

Client

Market Data

The Advisor

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Research

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My Business

Business Support

Overview

Client/Goal Manager

Asset Allocation

Reports

Modeling

Proposals

Administration

Summary

Quantify Goal

Client Name: Adams, Sam

Goal Name: Building Assets for Child's Education

My Next Step

Personal Info

Student's Date of Birth: 2/20/2000

604

Student's Current Age: 2

Sources of Funding During School (\$): 0

Tuition Assistance: 0

Income: 0

Total Education Assets (\$): 1,800,000

Understanding Your Client's Needs (Selections)

How much must my client save each year...

600

How much will my client need in order to fund a child's education starting at age 20, for 20 years, assuming an expense of \$4,727 (in today's dollars) per year, and the ability to contribute \$4,727 annually?

Calculate

Assumptions

School Cost Annual Increase Rate: 6.00%

Rate of Return During Retirement: 5.00%

Rate of Return of Current Allocation: 8.11%

Interpreting These Results

Considering the education needs indicated above, your client will need to accumulate \$2,611,972 by the time of his/her child's first year of school. Given the estimated rate of return of the asset's current allocation (8.11%) and any planned annual contributions, the estimated future value of these assets is \$976,213 on this day. This represents a variance of {+/- \$X,XXX.XXX}. You should also take the time to determine whether the risk/return characteristics of this allocation are in line with your client's risk profile.

Click here to go to Financial Planning

Save

FIGURE 6

UBS PaineWebber Experience 0.1 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Reload Home Search Favorites History Mail AOL Internet...

Address http://152.66.28.184/rndex1.html

Links Customized Links AOL United Internet Free Internet Windows

Pop-Up Stopper

UBS PaineWebber

Home Clients Market Data The Advisor Products Research Order Entry My Business Business Support

Overview Client/Goal Management Profile / Asset Allocation Reports Modeling Proposal Administration

Summary Quantify Goal

Client Name: Adams, Sam

Goal Name: Purchase a New or Second Home

MyNextStep

Personal Info

Total Account Balance (\$): 300,000

Understanding Your Client's Needs (Selection)

The values for Years to Goal and Targeted Accumulation of Assets, and Annual Contributions to be saved are...

Years to Goal:

Targeted Accumulation of Assets:

Annual Contributions:

Assumptions

Rate of Return of Current Allocation 8.11 %

Interpreting These Results

Considering the savings needs indicated above, your client will need to accumulate \$1,500,000 by the time of the goal distribution date. Given the estimated rate of return of the asset's current allocation (8.57%), the estimated future value of these assets is \$1,960,987 on this day. This represents a variance of + \$460,987. You should also take the time to determine whether the risk/return characteristics of this allocation are in line with your client's risk profile.

Click here to go to Financial Planning

Save

Done

Symbol Lookup Equity Composite Full Quote

QuickSearch: Client Account # for VO Go

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S&P 500	1080.82	+24.64

YH: 153.65 YL: 99.92

V: 100.786500

S: 55x16

A: 101.01

B: 105.37

PC: +1.05

L: 105.32

INTL BUS MACHINES

FIGURE 7

Adviser - Microsoft Internet Explorer

Address: http://rddevweb01.ics.pw.com:81/ics/exp/controller/asp/frameset

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

URS | PaineWebber

Symbol Lookup Equity Composite

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ACTIVE MARKETS

DJIA	9244.25	+191.81
IASDAQ	1620.46	+50.27
S&P 500	1080.82	+24.64

QuickSearch: Client Account # for AB Go

Relationship Manager

Home Clients Market Data Advisory Process Transaction Summary

Overview Client/Goal Manager Profile Allocation Strategies Strategy Review

Risk Profile Allocation Strategies Strategy Review

Client Name: Gregory Adams Goal Name: General Investment

Desired Goal Value: \$110,555.24

1 In order to recommend an asset allocation based on your client's tolerance for risk and time horizon, please answer the following questions.

Q1. Primary Objective 806 808

Q2. Investment Timeframe 808

Q3. Risk/Return Objective 808

Q4. Risk/Return Characteristics 808

Q5. Short-term Cash Need 808

Q6. Portion of Total Investable Assets in this Goal 808

Investor Preferences

2 In order to personalize this asset allocation, please select which product types you and your client would like to consider.

International Investments

International Equity ☒

International Fixed Income ☒

Other ☒

Include Cash Component ☒

My Next Step

FIGURE 8



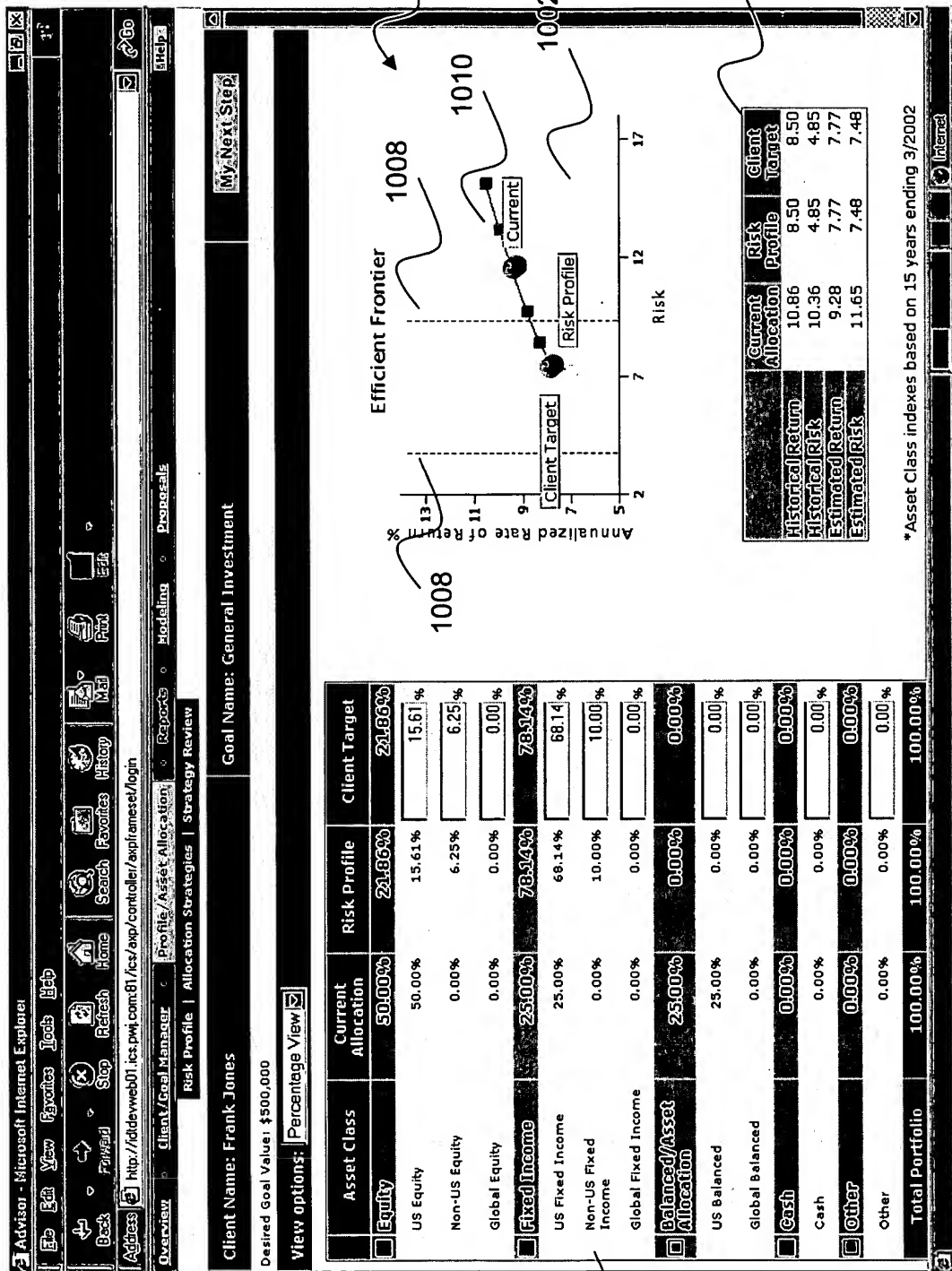


FIGURE 10

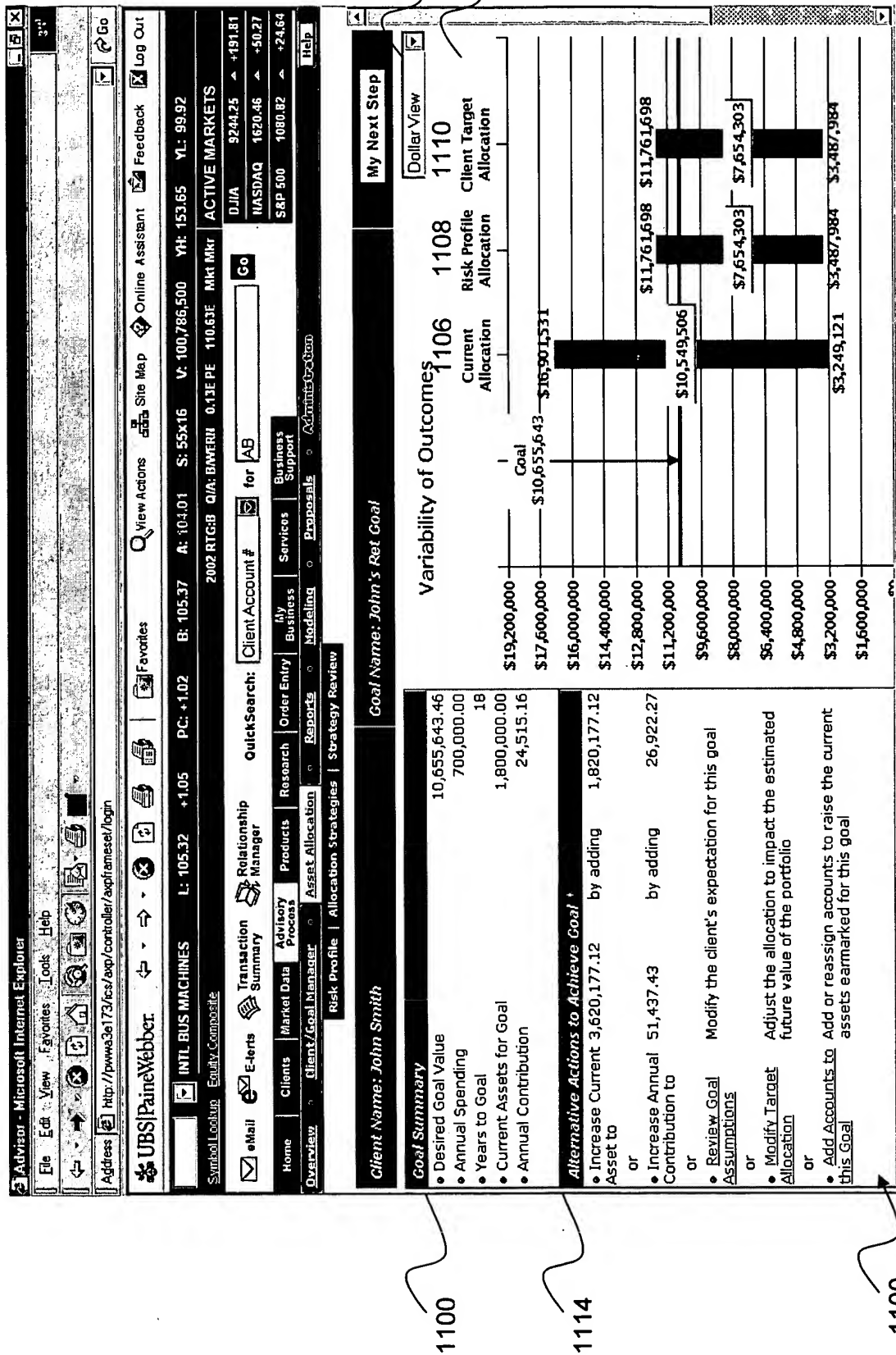


FIGURE 11

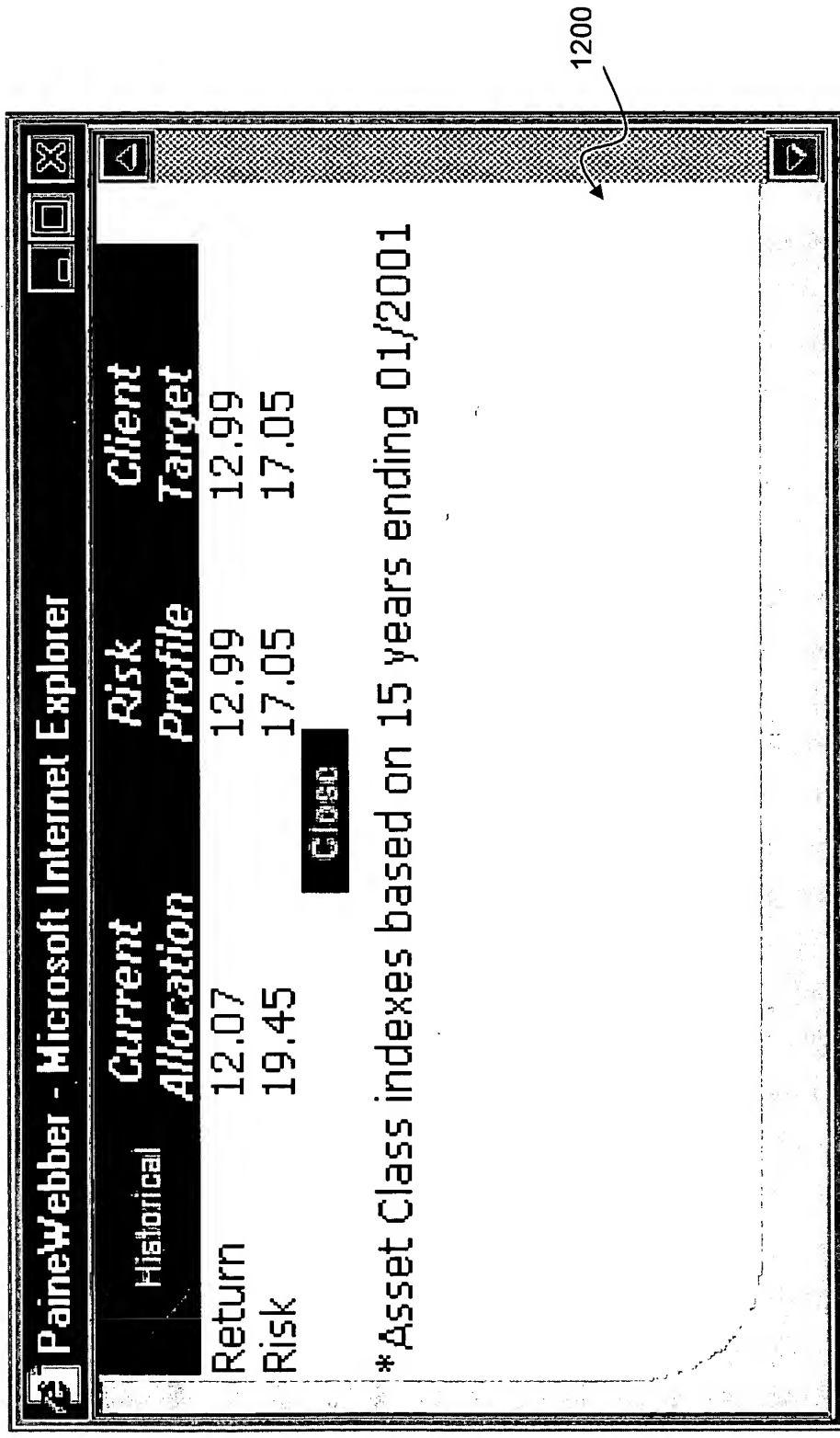
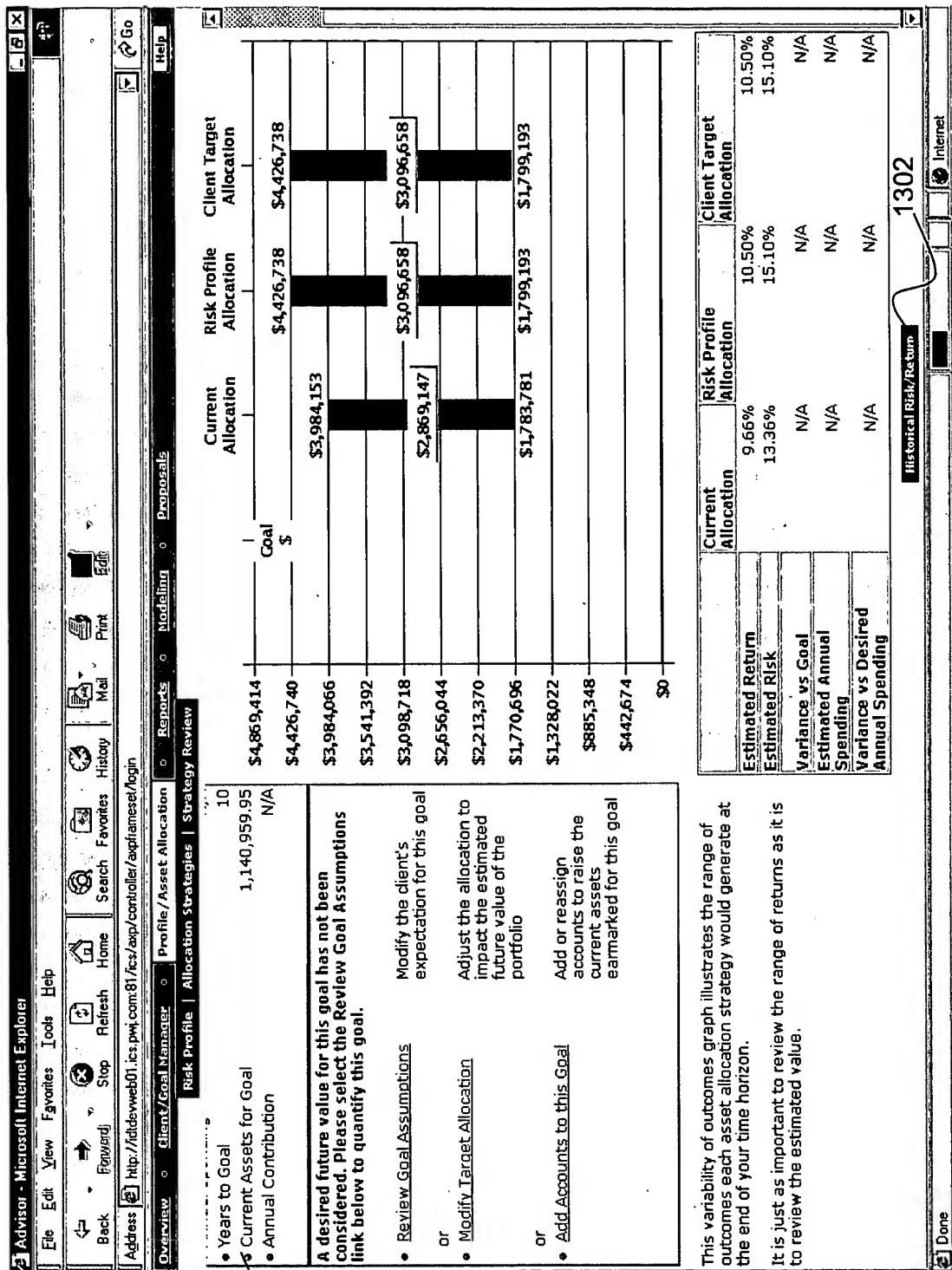


FIGURE 12



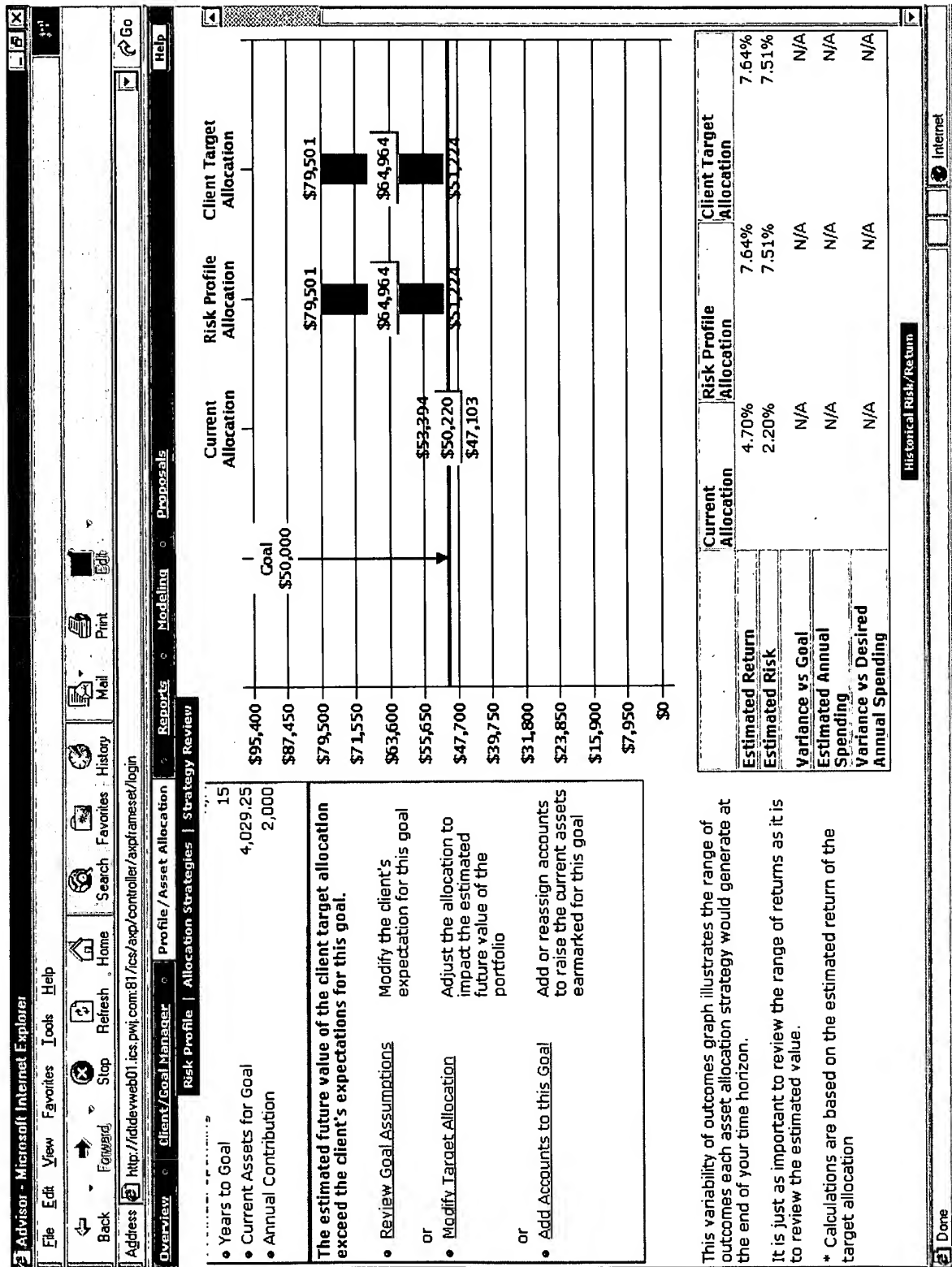


FIGURE 14

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Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

Address http://162.66.28.184/index1.html

UBSPaineWebber

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Symbol Lookup Equity Composite Full Guide

QuickSearch: Client Account # [] for [AB] Go

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Overview Client/Goal Manager Asset Allocation Reports Modeling Proposals Administration

Recommended Purchases Model Maintenance

Client Name: Adams, Sam Goal Name: Adams' Retirement

My Next Step

1 Select a Product Type [Common Stocks] 1502

2 Enter Investment Amount \$ [] 1506

3 Select a Model/Solution [Create a Solution]

Product Allocation View Asset Allocation

Total \$0

Allocate by:	Delete %	\$	Shrs	Ticker	Description	Rating	Price	% of Product Type	\$ Amount	Shares
<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>							
<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>							
<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>							
<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>							
<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>							

Done

FIGURE 15

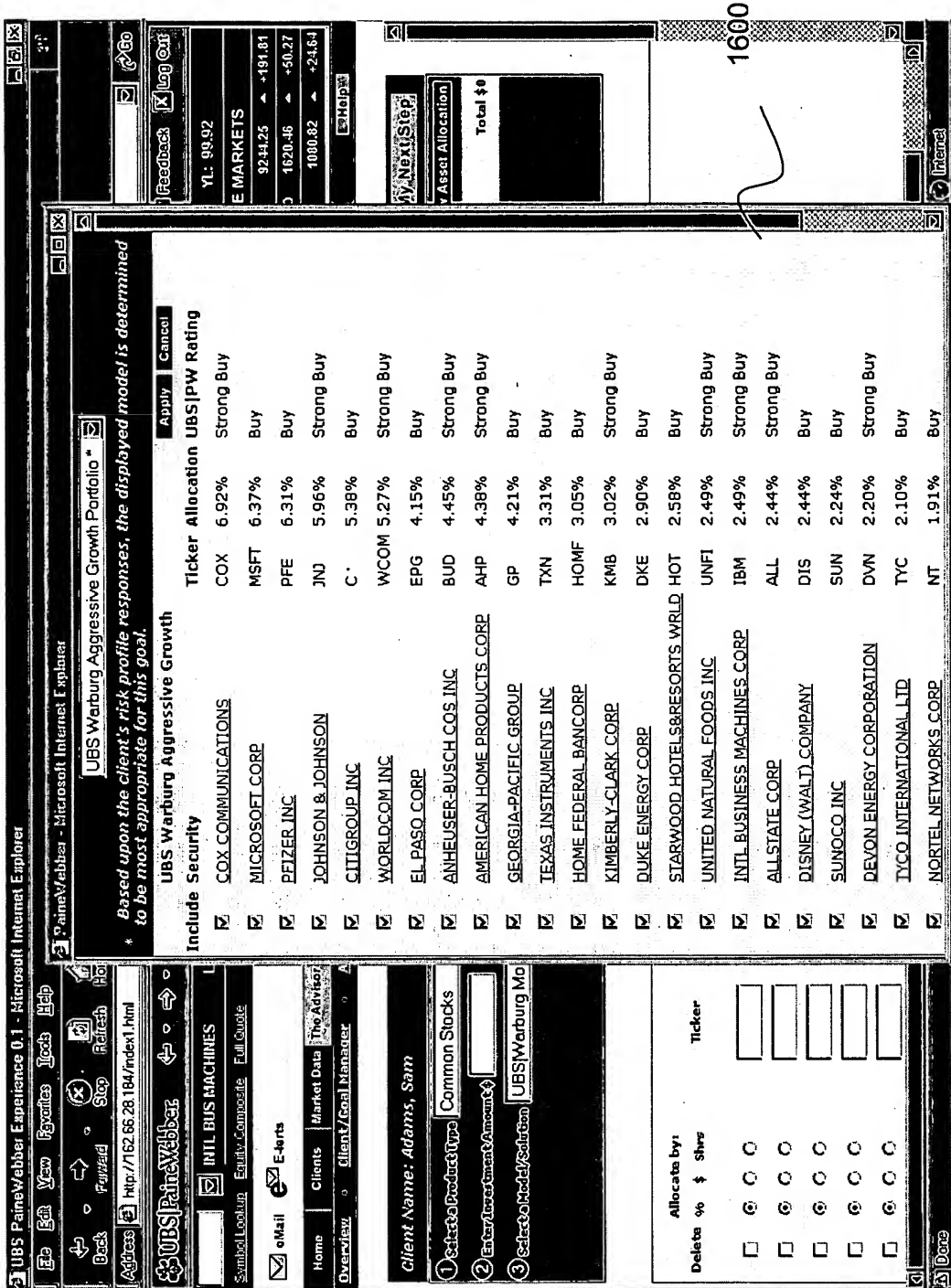


FIGURE 16

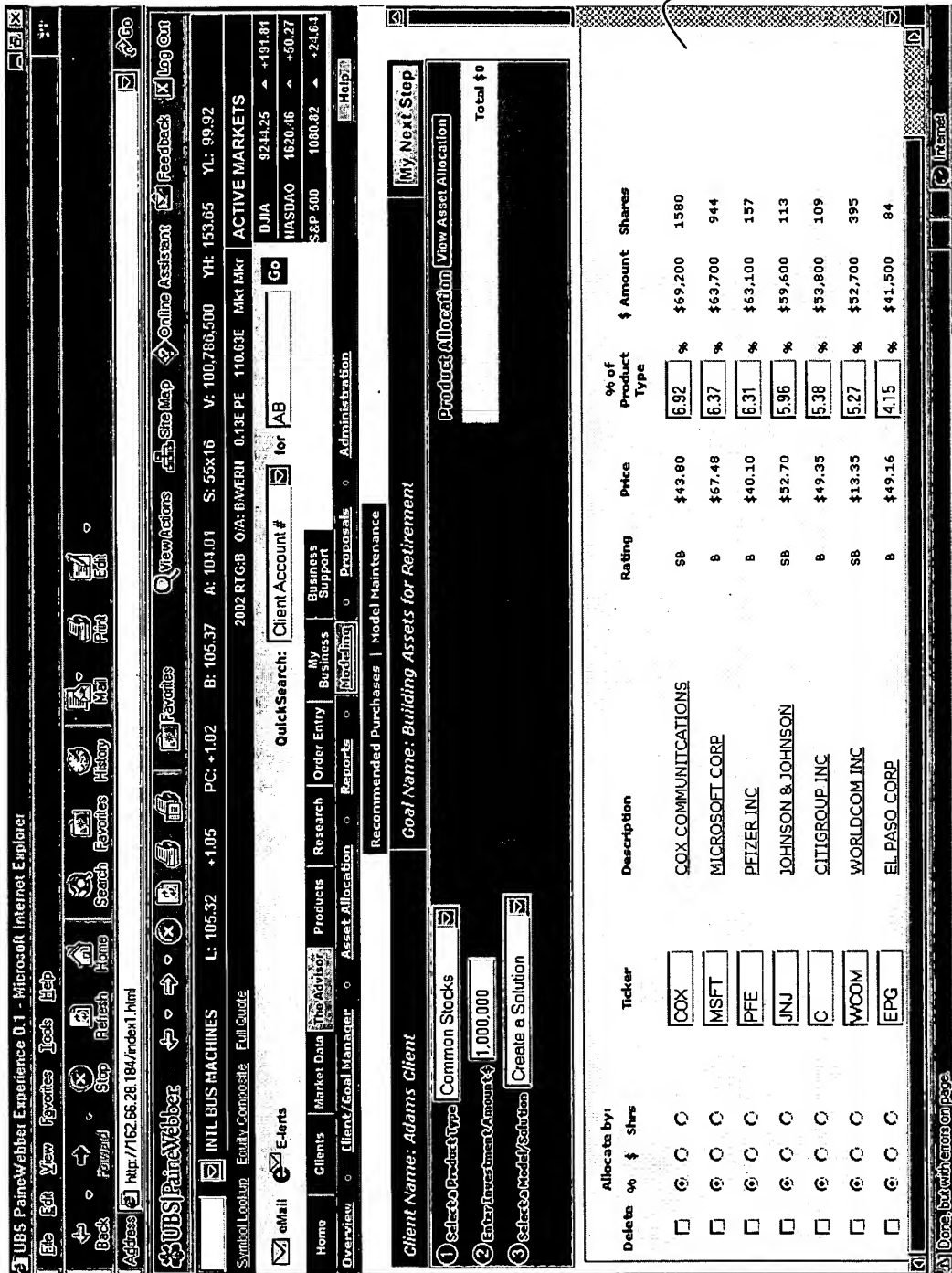


FIGURE 17

1702

Advisor - Microsoft Internet Explorer

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Address http://rddevweb01.ics.pw.com:81/ics/asp/controller.asp?ameset

UBSPrimeWebWare

Symbol Lookup Equity Composite

☒ eMail
 ☒ E-Jorts
 ☒ Transaction Summary
 ☒ Relationship Manager
 ☒ QuickSearch: Client Account # for AB

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 ☒ Market Data
 ☒ Advisory Process
 ☒ Products
 ☒ Research
 ☒ Order Entry
 ☒ MY Business
 ☒ Services
 ☒ Modeling
 ☒ Proposals
 ☒ Administration
 ☒ Exhibits
 ☒ News

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 Q/A: DIVERN 0.13E PE 110.63E MKT Mkr
 ACTIVE MARKETS
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 NASDAQ 1620.46 +50.27
 S&P 500 1080.92 +24.64

MyNextStep

Client Name: Gregory Adams

Goal Name: General Investment

Create Proposal:

1 Please enter the following information:

Proposal Title: General Investment

Client First Name/Last Name: Gregory / Adams

FA Name/Title/Phone Number: OUT / test / 555-1212

Comments (will not be displayed on proposal):

2 Please select the exhibits to include in your proposal:

☐ General Information (Use Ctrl. key to select multiple UBSIPW Products and Services)
☐ Recommended Purchases
☒ Select this box to save these selections as your default presentation.

1810 1812

Done

1802

1804

1806

1800

FIGURE 18

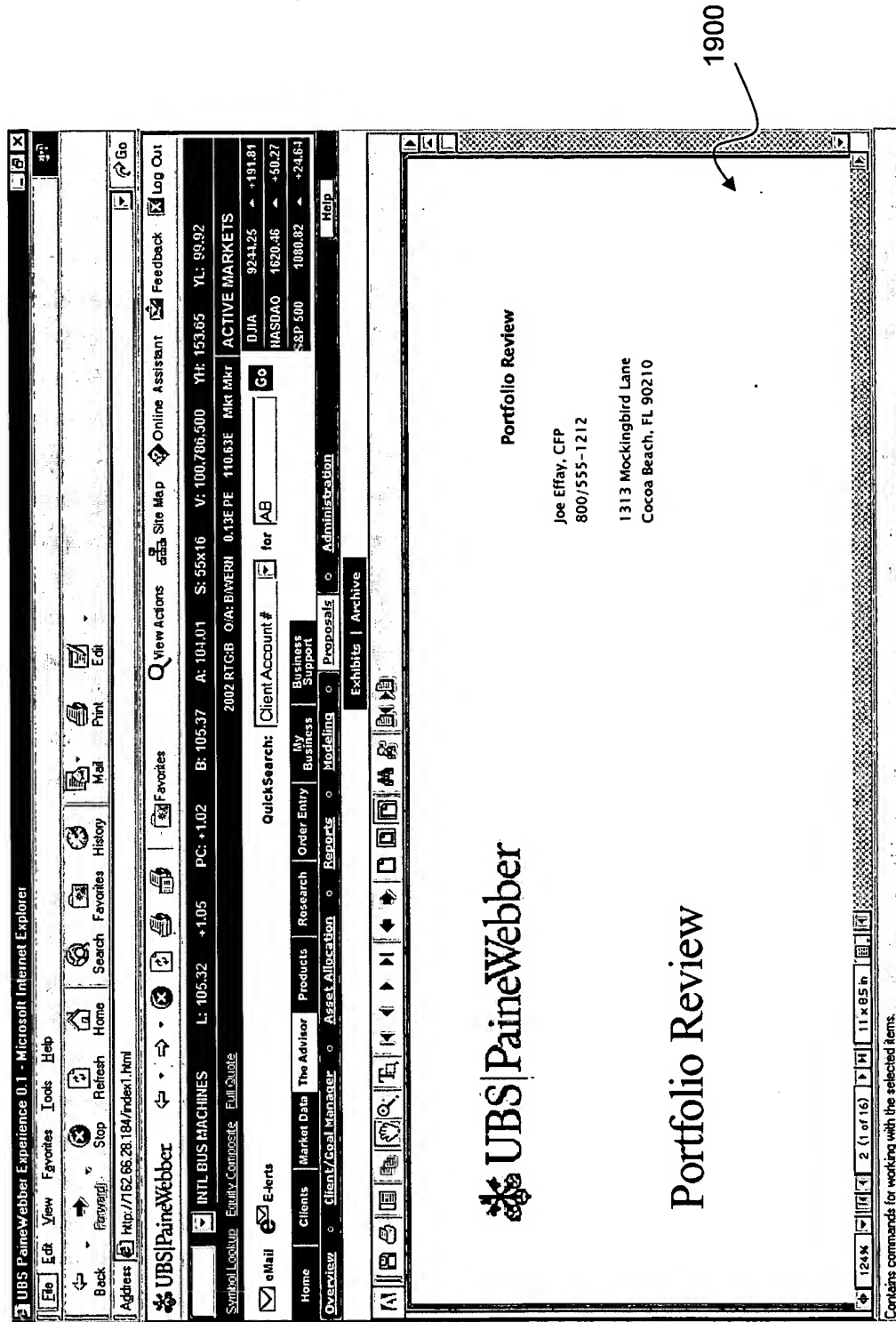


FIGURE 19

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Symbol Looking Equity Composite Full Quote

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UJIA 9244.25 ▲ +191.81
NASDAQ 1620.46 ▲ +50.27
\$SP 500 1080.32 ▲ +24.64

Help

Client Name: Adams, Sam

Goal Name: Adams' Retirement

Select Proposal Name Goal Creation Date Comments

Adams' Retirement Proposal 2 Adams' Retirement December 19, 2001 Proposal using a model

Adams' Retirement Adams' Retirement June 1, 2001 This is complete

View

Done Internet

2000

FIGURE 20

UBS PaineWebber Experience 0.1 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

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New Actions Site Map Online Assistant Feedback Log Out

Symbol Lookup Equity Composite Full Guide

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ACTIVE MARKETS

Quick Search: Client Account # for VO

Go

Home Clients Market Data The Advisor Products Research Order Entry My Business Business Support

Overview Client/Goal Manager Asset Allocation Reports Modeling Proposals Administration

Portfolio Analytics

Client Name: Adams, Sam

Goal Name: Adams' Retirement

My Next Step

Include Accounts

Account Number

Client

Account Value

<input checked="" type="checkbox"/>	BG478931	Adams, Sam	\$25,131
<input checked="" type="checkbox"/>	BG126571	Adams, Sam	\$192,985
<input checked="" type="checkbox"/>	BG347651	Adams, Jane	\$45,128

Report Name

Time Frame

Description

Portfolios

C Portfolio Diversification

C Realized Gain/(Loss)

C Expected Cash Flow

C Asset Allocation

This report details the allocation of holdings by investment category and sub-category for the selected accounts(s).

This report provides a summary of both short-term and long-term realized gains/(losses) of the selected accounts(s).

This report illustrates cash-flows (including principal paybacks) projected for 12 months for Equity securities.

This report details the allocation of holdings by investment category and sub-category for the selected account(s).

This report details the allocation of holdings by investment category and sub-category for the selected account(s).

Excludes

Error on Page

FIGURE 21